

ESTE AVISO REQUIERE ACCIÓN EN O ANTES DEL [insertar fecha 40 días a partir de la notificación de la orden dando lugar a la moción de procedimientos]

**TRIBUNAL DE DISTRITO DE LOS ESTADOS UNIDOS
PARA EL DISTRITO DE PUERTO RICO**

2019 OCT 31 PM 1:06

----- X
In re: :
LA JUNTA DE SUPERVISIÓN Y ADMINISTRACIÓN : PROMESA
FINANCIERA PARA PUERTO RICO, : Título III
como representante de : Caso Núm. 17-BK-3283 (LTS)
EL ESTADO LIBRE ASOCIADO DE PUERTO RICO *et al.*, : (Administrado Conjuntamente)
Deudores. ¹² :



----- X
In re: :
LA JUNTA DE SUPERVISIÓN Y ADMINISTRACIÓN : PROMESA
FINANCIERA PARA PUERTO RICO, : Título III
como representante del : Caso Núm. 17-BK-3566 (LTS)
SISTEMA DE RETIRO DE LOS EMPLEADOS DEL :
GOBIERNO DEL ESTADO LIBRE ASOCIADO DE :
PUERTO RICO, :
Deudor. :
----- X

RECEIVED AND FILED
2019 NOV -6 AM 8:47
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.
Hato Rey

**AVISO DE PARTICIPACIÓN EN EL LITIGIO DE LAS OBJECIONES A
RECLAMACIONES DE BONOS SRE**

¹² Los Deudores en los Casos del Título III, junto con el caso individual de cada Deudor en virtud del mismo título y los últimos cuatro (4) dígitos del número de identificación contributiva federal de cada Deudor, según aplicable, son: (i) el Estado Libre Asociado de Puerto Rico (Caso de Quiebra Núm. 17-BK-3283 (LTS)) (Últimos cuatro dígitos de la identificación contributiva federal: 3481); (ii) la Autoridad de Carreteras y Transportación de Puerto Rico ("ACT") (Caso de Quiebra Núm. 17-BK-3567 (LTS)) (Últimos cuatro dígitos de la identificación contributiva federal: 3808); (iii) el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico ("SRE") (Caso de Quiebra Núm. 17-BK-3566 (LTS)) (Últimos cuatro dígitos de la identificación contributiva federal: 9686); y (iv) la Autoridad de Energía Eléctrica de Puerto Rico ("AEE") (Caso de Quiebra Núm. 17-BK-4780 (LTS)) (Últimos cuatro dígitos de la identificación contributiva federal: 3747) (Los números de los casos en virtud del Título III están enumerados como números de casos de quiebra debido a ciertas limitaciones en el programa informático).

ESTE AVISO REQUIERE ACCIÓN EN O ANTES DEL [insertar fecha 40 días a partir de la notificación de la orden dando lugar a la moción de procedimientos]

Este Aviso de Participación tiene que ser notificado y presentado en o antes del [insertar fecha 40 días a partir de notificación de la orden] siguiendo las instrucciones que se encuentran al final de este documento.

En ausencia de un permiso concedido por el Tribunal de Distrito luego de mostrar justa causa, cualquier parte que tenga conocimiento de los Procedimientos Iniciales para Objeciones pero (a) no presenta un Aviso de Participación, o (b) presenta un Aviso de Participación luego del [insertar fecha 40 días después de la notificación de la Orden] de 2019, estará impedida de presentar mociones separadas con respecto a las Objeciones a Reclamaciones (según se definen en los Procedimientos Iniciales para Objeciones), incluyendo presentar cualquier Objeción Adicional a Reclamaciones (según se define en los Procedimientos Iniciales para Objeciones).

La parte identificada a continuación (“Participante”), por la presente notifica al Comité Oficial de Acreedores No Asegurados, al Comité Oficial de Empleados Retirados del Estado Libre Asociado de Puerto Rico, a la Junta de Supervisión y Administración Financiera para Puerto Rico, al Comité Especial de Reclamaciones de la Junta de Supervisión y Administración Financiera para Puerto Rico y a la Autoridad de Asesoría Financiera y Agencia Fiscal de Puerto Rico, que tiene la intención de participar en el litigio de las Objeciones a Reclamaciones con respecto a los bonos emitidos por el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico en el 2008 (los “Bonos SRE”).

Para garantizar todos los derechos de participación en el litigio de las Objeciones a Reclamaciones, el Participante provee toda la información solicitada en los incisos 1 al 3 a continuación:

1. Información de contacto del Participante, incluyendo correo electrónico, y el de su representante legal, si alguno:

Nombre del Participante e Información de Contacto

ADELUNDA RODRIGUEZ DIAZ

Nombre del Participante

Información de Contacto de la Representación Legal (si alguna)

Nombre de la firma (si aplica)

Persona contacto (si el Participante no es un individuo)

Persona contacto

lindaarjes@hotmail.com

Correo electrónico

Correo electrónico

Calle Unión 83

Dirección línea 1

Dirección línea 1

ESTE AVISO REQUIERE ACCIÓN EN O ANTES DEL [insertar fecha 40 días a partir de la notificación de la orden dando lugar a la moción de procedimientos]

Galerías Ponceñas

Dirección línea 2

Union 83

Dirección línea 2

Ponce, PR 00730-3686

Ciudad, Estado, Código Postal

Ciudad, Estado, Código Postal

Puerto Rico

País

País

2. El Participante informa que (elija una de las siguientes opciones marcando una "X" en el espacio apropiado):

 pretende **apoyar** el remedio solicitado en las Objeciones a Reclamaciones (i.e., el Participante cree que el Tribunal de Distrito debe decidir que los Bonos SRE son **inválidos**); o

X pretende **oponerse** al remedio solicitado en las Objeciones a Reclamaciones (i.e., el Participante cree que el Tribunal de Distrito debe decidir que los Bonos SRE son **válidos**).

3. Si el Participante no es tenedor de un Bono SRE, puede saltar al final de este Aviso y firmarlo. Si el Participante es tenedor de uno o más Bonos SRE, el Participante tiene que responder a los siguientes párrafos (a) y (b) según el mejor conocimiento del Participante.

(a) Provea el número CUSIP de todos los Bonos SRE del Participante:

29216 MAC4

(b) ¿El Participante compró alguno de sus Bonos SRE, total o parcialmente, en el mercado secundario? **SI** o **NO** (por favor, **circule uno**).

Por:

Adelinda Rodriguez Diaz

Firma

ADELINDA RODRIGUEZ DIAZ

Nombre en letra de molde

Título (si el Participante no es un individuo)

31/10/19

Fecha

ESTE AVISO REQUIERE ACCIÓN EN O ANTES DEL *[insertar fecha 40 días a partir de la notificación de la orden dando lugar a la moción de procedimientos]*

Instrucciones para Notificar y Presentar el Aviso de Participación: Este Aviso de Participación tiene que ser (i) **notificado** mediante correo electrónico a las Partes a Notificar establecidas en el párrafo 8 de los Procedimientos para Objeciones, y (ii) **presentado** electrónicamente ante el Tribunal de Distrito conforme a sus procedimientos de presentación electrónica de casos. **Si el Participante no tiene representación legal, el Participante puede someter una copia en papel de este Aviso de Participación ante el Tribunal de Distrito mediante correo o entregado a la mano a: Secretaría del Tribunal de Distrito de los Estados Unidos para el Distrito de Puerto Rico, Oficina 150 del Edificio Federal, 150 Avenida Carlos Chardón, San Juan, Puerto Rico 00918-1767.**

RECEIVED AND FILED
THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019
SRF 36513

2019 OCT 31 PM 1:04
UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO

In re:

THE FINANCIAL OVERSIGHT AND
MANAGEMENT BOARD FOR PUERTO RICO,

as representative of

THE COMMONWEALTH OF PUERTO RICO *et al.*,

Debtors.¹

X

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

RECEIVED
OCT 31 2019
USDC

PROMESA
Title III

Case No. 17-BK-3283 (LTS)

(Jointly Administered)

X

In re:

THE FINANCIAL OVERSIGHT AND
MANAGEMENT BOARD FOR PUERTO RICO,

as representative of

THE EMPLOYEES RETIREMENT SYSTEM OF THE
GOVERNMENT OF THE COMMONWEALTH OF
PUERTO RICO,

Debtor.

X

PROMESA
Title III

Case No. 17-BK-3566 (LTS)

X

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

2019 NOV -6 AM 8:47

RECEIVED AND FILED

Hato Rey

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MAC

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? (YES) or NO (please circle one).

By:

Signature

IVONNE LABORDE

Print Name

Title (if Participant is not an Individual)

October 22, 2019

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

This Notice of Participation must be served and filed no later than November 18, 2019 in accordance with the instructions set forth at the end of this document.

Absent permission granted by the District Court upon a showing of good cause, any party that has notice of the Initial Objection Procedures but (a) fails to file a Notice of Participation or (b) files a Notice of Participation after November 18, 2019, shall be prohibited from filing separate pleadings with respect to the Claim Objections (as defined in the Initial Objection Procedures), including filing any Additional Claim Objections (as defined in the Initial Objection Procedures).

The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

IVONNE LABORDE NEERON

Participant Name

Contact Person (if Participant is not an individual)

ivonnelaborde@hotmail.com

Email Address

1560 Blvd. Miguel Pou

Address line 1

401 PASEO DE LA REINA

Address line 2

PONCE, PUERTO RICO 00716

City, State Zip Code

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

 intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019
SRF 36513

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO

In re:

THE FINANCIAL OVERSIGHT AND
MANAGEMENT BOARD FOR PUERTO RICO,

as representative of

THE COMMONWEALTH OF PUERTO RICO *et al.*,

Debtors.¹

In re:

THE FINANCIAL OVERSIGHT AND
MANAGEMENT BOARD FOR PUERTO RICO,

as representative of

THE EMPLOYEES RETIREMENT SYSTEM OF THE
GOVERNMENT OF THE COMMONWEALTH OF
PUERTO RICO,

Debtor.

X

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X

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NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

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2019 NOV 01 PM 1:58

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.



RECEIVED AND FILED
2019 NOV -6 AM 8:47
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

Hato Rey

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

This Notice of Participation must be served and filed no later than November 18, 2019 in accordance with the instructions set forth at the end of this document.

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Margule Mary Camui
Participant Name

Contact Person (if Participant is not an individual)

Email Address

411 Manami
Address line 1

Call Saltona 8031
Address line 2

San Juan P.R. 00111-1120
City, State Zip Code

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.
- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:
- 29216 MBN9
- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: _____

Signature

MARGARITA SANCHEZ RAMIREZ

Print Name

N/A

Title (if Participant is not an Individual)

11-1-2019

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019
SRF 36513

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

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In re: :
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3283 (LTS)
:
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
:
Debtors.¹ :
----- X

----- X
:
In re: :
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3566 (LTS)
:
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
:
Debtor. :
----- X

RECEIVED & FILED
2019 NOV - 6 PM 4:07
DISTRICT COURT
SAN JUAN, P.R.

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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Absent permission granted by the District Court upon a showing of good cause, any party that has notice of the Initial Objection Procedures but (a) fails to file a Notice of Participation or (b) files a Notice of Participation after November 18, 2019, shall be prohibited from filing separate pleadings with respect to the Claim Objections (as defined in the Initial Objection Procedures), including filing any Additional Claim Objections (as defined in the Initial Objection Procedures).

The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

Jaime Hobles
Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

jrcables200@gmail.com
Email Address

Email Address

25 Muñoz Rivera Ave.
Address line 1

Address line 1

Cond. Banica Plaza Apt 701
Address line 2

Address line 2

San Juan PR 00901
City, State Zip Code

City, State Zip Code

Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MAC

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: _____

Signature

Jaime Bobles

Print Name

Title (if Participant is not an Individual)

October 21, 2019

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

Jaime Robles
25 Muñoz Rivera Ave.
Cond. Bahía Plaza Apt 701
San Juan PR 00901

Case:17-03283-LTS Doc#:9122-1 Filed:11/06/19
Pro Se Notices of Participation

Entered:11/07/19 11:17:26 Desc:
Page 14 of 90



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2019 NOV -6 PM 4: 07

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

Secretaría del Tribunal de Distrito de Estados Unidos
Para el Distrito de Puerto Rico

Oficina 150

Edificio Federal

150 Avenida Carlos Chardón

San Juan, Puerto Rico 00918-1767

00918-170625



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

-----	X	
In re:	:	
	:	
THE FINANCIAL OVERSIGHT AND	:	PROMESA
MANAGEMENT BOARD FOR PUERTO RICO,	:	Title III
	:	
as representative of	:	Case No. 17-BK-3283 (LTS)
	:	
THE COMMONWEALTH OF PUERTO RICO <i>et al.</i> ,	:	(Jointly Administered)
	:	
Debtors. ¹	:	
-----	X	
In re:	:	
	:	
THE FINANCIAL OVERSIGHT AND	:	PROMESA
MANAGEMENT BOARD FOR PUERTO RICO,	:	Title III
	:	
as representative of	:	Case No. 17-BK-3566 (LTS)
	:	
THE EMPLOYEES RETIREMENT SYSTEM OF THE	:	
GOVERNMENT OF THE COMMONWEALTH OF	:	
PUERTO RICO,	:	
	:	
Debtor.	:	
-----	X	

RECEIVED & FILED
2019 NOV - 6 PM 4: 07
DISTRICT COURT
SAN JUAN, P.R.

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

PAUL Villanueva Cruz/Lidia Lopez Gaston

N/A

Participant Name

Firm Name (if applicable)

N/A

Contact Person (if Participant is not an individual)

Contact Person

paulnewvillage@gmail.com

Email Address

Email Address

Villas Del Capitan

Address line 1

Address line 1

Rosales Str. V-6, #20

Address line 2

Address line 2

Arecibo, Puerto Rico 00612-3372

City, State Zip Code

City, State Zip Code

U.S.A.

Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

☐ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

☒ intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216 MAC4

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By:

Signature

Print Name

N/A

Title (if Participant is not an Individual)

Nov. 05, 2019

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

P. Villanueva
Villas Del Capitan,
Rosales #20,
Arecibo, P.R. 00612-3372

Case:17-03283-LTS Doc#:9122-1 Filed:11/06/19
Pro Se Notices of Participation

Entered:11/07/19 11:17:26 Desc:
Page 18 of 90

05 NOV 2019



RECEIVED & FILED
2019 NOV -6 PM 4: 07
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

The Clerk of the United States
District Court For the District of P.R.,
Room 150, Federal Building,
150 Carlos Chardon Ave.
San Juan, P.R. 00918-1767

00918-170625



10/21/2019

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

_____	X
In re:	:
	:
THE FINANCIAL OVERSIGHT AND	: PROMESA
MANAGEMENT BOARD FOR PUERTO RICO,	: Title III
	:
as representative of	: Case No. 17-BK-3283 (LTS)
	:
THE COMMONWEALTH OF PUERTO RICO <i>et al.</i> ,	: (Jointly Administered)
	:
Debtors. ¹	:
_____	X
In re:	:
	:
THE FINANCIAL OVERSIGHT AND	: PROMESA
MANAGEMENT BOARD FOR PUERTO RICO,	: Title III
	:
as representative of	: Case No. 17-BK-3566 (LTS)
	:
THE EMPLOYEES RETIREMENT SYSTEM OF THE	:
GOVERNMENT OF THE COMMONWEALTH OF	:
PUERTO RICO,	:
	:
Debtor.	:
_____	X

RECEIVED & FILED
2019 NOV - 6 PM 4: 07
U.S. DISTRICT COURT
SAN JUAN, P.R.

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

10/21/2019

Corporate Action Event Library - Client View

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

This Notice of Participation must be served and filed no later than November 18, 2019 in accordance with the instructions set forth at the end of this document.

Absent permission granted by the District Court upon a showing of good cause, any party that has notice of the Initial Objection Procedures but (a) fails to file a Notice of Participation or (b) files a Notice of Participation after November 18, 2019, shall be prohibited from filing separate pleadings with respect to the Claim Objections (as defined in the Initial Objection Procedures), including filing any Additional Claim Objections (as defined in the Initial Objection Procedures).

The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Marta Barrios Lugo
Participant Name

Contact Person (if Participant is not an individual)

10fi 53@hotmail.es

Email Address

P.O. Box 786

Address line 1

Address line 2

Lajas Puerto Rico 00667-0786

City, State Zip Code

Puerto Rico

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

 intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

 X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MAC4

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By:

Signature

Print Name

Title (if Participant is not an Individual)

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.

Marta Barrios
P.O. Box 786
Lago San Carlos

00667-0786



RECEIVED & FILED

2019 NOV - 6 PM 4: 07

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

Clark of United States District Court
for the District of Puerto Rico.
Room 150 Federal Building
150 Carlos Chardon Avenue
San Juan
Puerto Rico 00918-1767

00918-170750



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND :
MANAGEMENT BOARD FOR PUERTO RICO, : PROMESA
: Title III
: as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND :
MANAGEMENT BOARD FOR PUERTO RICO, : PROMESA
: Title III
: as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

This Notice of Participation must be served and filed no later than November 18, 2019 in accordance with the instructions set forth at the end of this document.

Absent permission granted by the District Court upon a showing of good cause, any party that has notice of the Initial Objection Procedures but (a) fails to file a Notice of Participation or (b) files a Notice of Participation after November 18, 2019, shall be prohibited from filing separate pleadings with respect to the Claim Objections (as defined in the Initial Objection Procedures), including filing any Additional Claim Objections (as defined in the Initial Objection Procedures).

The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

Luis A. Cruz
Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

apelo.cande@yahoo.com
Email Address

Email Address

Urb. STA. CRUZ-D-13
Address line 1

Address line 1

Address line 2

Address line 2

GUAYAMA, P.R. 00653
City, State Zip Code

City, State Zip Code

P.R.
Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

☐ intends to **support** the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are **invalid**); or

☒ intends to **oppose** the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are **valid**)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

(a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

(b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: _____
Signature
Luis A. Oraz
Print Name

Title (if Participant is not an Individual)

10/5/2019
Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) ~~served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed~~ electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**



Mr. Luis A. Cruz
Urb Santa Clara D-13
Guanica, PR 00653

Case:17-03283-LTS Doc#:9122-1 Filed:11/06/19 Entered:11/07/19 11:17:26 Desc:
Pro Se Notices of Participation Page 26 of 90



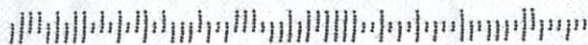
RECEIVED & FILED

2019 NOV -6 PM 4:07

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

To: CLERK of the U.S. District Court for the District of P.R.
Room 150 Federal Building,
150 Carlos Chardon Avenue
SAN JUAN, P.R. 00918-1767

0091831703 0018



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
~~THE EMPLOYEES RETIREMENT SYSTEM OF THE~~ :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Maria del C. Coss-Rodríguez
Participant Name

Contact Person (if Participant is not an individual)

Email Address

Address line 1

P.O. Box 6587
Address line 2

Caguas
City, State Zip Code

Puerto Rico 00726
Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

_____ intends to **support** the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are **invalid**); or

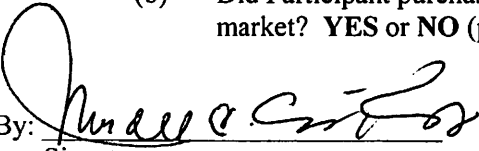
X intends to **oppose** the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are **valid**)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

(a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

(b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? **YES** or **NO** (please circle one).

By: 
Signature

Maria del C. Goss-Rodriguez
Print Name

Title (if Participant is not an Individual)

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

Maria del C. Cass-Rodríguez

PO Box 6587

Caguas, P.R. 00726

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2019 NOV -6 PM 4: 07

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

Oficina 150 Edificio Federal
150 Avenida Carlos Chardón
San Juan, P.R. 00918 - 1767

NOV 14 2019 PM 4:05

NOV 14 2019 PM 4:05



666041-81600



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

RECEIVED & FILED
2019 NOV - 6 PM 4: 07
U.S. DISTRICT COURT
SAN JUAN, PR

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

- Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Fidicomiso Inigo Fas
Participant Name
José F. Inigo Fas
Contact Person (if Participant is not an individual)
jheinigo52@gmail.com
Email Address

P.O. Box-1265
Address line 1
Address line 2

Mayaguez, P. Rico 00681
City, State Zip Code
Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1
Address line 2

City, State Zip Code
Country

- Participant advises that it (choose one of the following by marking "X" in the appropriate space):

☐ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

☒ intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216 MBL 3

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: JHINLO

Signature

Federico Miso Enigo Jr.
Print Name

José F. Enigo Agent
Title (if Participant is not an Individual)

29/Oct./2019.
Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) **filed** electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

From: Welf Trigo Fas

P.O. Box-1265
Mayaguez, P.R. 00681

To:

The Clerk of The United States District Court
for the District of Puerto Rico
Room # 150, Federal Building
150 Carlos Chardon Avenue
San Juan, P.R. 00918-1767



RECEIVED & FILED
9 NOV - 6 PM 4: 07
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

-----	X
In re:	:
THE FINANCIAL OVERSIGHT AND	:
MANAGEMENT BOARD FOR PUERTO RICO,	:
	:
as representative of	:
THE COMMONWEALTH OF PUERTO RICO <i>et al.</i> ,	:
	:
Debtors. ¹	:
-----	X
In re:	:
THE FINANCIAL OVERSIGHT AND	:
MANAGEMENT BOARD FOR PUERTO RICO,	:
	:
as representative of	:
THE EMPLOYEES RETIREMENT SYSTEM OF THE	:
GOVERNMENT OF THE COMMONWEALTH OF	:
PUERTO RICO,	:
	:
Debtor.	:
-----	X

PROMESA
Title III

Case No. 17-BK-3283 (LTS)
(Jointly Administered)

PROMESA
Title III

Case No. 17-BK-3566 (LTS)

RECEIVED & FILED
2019 NOV -6 PM 4:07
CLERK OF DISTRICT COURT
DISTRICT OF PUERTO RICO

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Fideicomiso Inigo F&S.
Participant Name
Jose F. Inigo
Contact Person (if Participant is not an individual)
cheinigo52@gmail.com
Email Address
P.O. Box - 1265
Address line 1

Address line 2
Margarita
City, State Zip Code
P.Rico 00681
Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

_____ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

_____ intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

(a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MAC4

(b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: JF20160

Signature

Print Name

Title (if Participant is not an Individual)

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

From:

José F. Trigo Fas
P.O. Box - 1265
Mayaguez, P.R. 00681

To: The Clerk of the United States District Court
for the District of Puerto Rico
Room #150 Federal Building
150 Carlos Chardon Avenue,

San Juan, Puerto Rico 00918-1767

RECEIVED & FILED

2019 NOV -6 PM 4:07

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

0091831703 0018

SAN JUAN, PR 009

05 NOV 2019 PM 2 L



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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Absent permission granted by the District Court upon a showing of good cause, any party that has notice of the Initial Objection Procedures but (a) fails to file a Notice of Participation or (b) files a Notice of Participation after November 18, 2019, shall be prohibited from filing separate pleadings with respect to the Claim Objections (as defined in the Initial Objection Procedures), including filing any Additional Claim Objections (as defined in the Initial Objection Procedures).

The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

ENRIQUE FUENTES
Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

HFA5364@GMAIL.COM
Email Address

Email Address

VILLA CAROLINA 97-55 CALLE 89
Address line 1

Address line 1

Address line 2

Address line 2

CAROLINA, P.R. 00985-4154
City, State Zip Code

City, State Zip Code

PUERTO RICO
Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

_____ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216 MBL3 \$10,000 ACCOUNT 8265

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: 
Signature

ENRIQUE FUENTES
Print Name

Title (if Participant is not an Individual)

11-05-2019
Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) **served** by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) **filed** electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**



ENRIQUE FUENTES
VILLA CAROLINA
97-55 CALLE 89
CAROLINA, PR 00985-4154

The Clerk of the United States District
of Puerto Rico, Room 150 Federal Building
150 Chardon Avenue, San Juan, P.R. 00918-1709

RECEIVED & FILED
2019 NOV -6 PM 4: 07
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

0091851709 0018

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

RECEIVED & FILED
2019 NOV -6 PM 4:06
U.S. DISTRICT COURT
SAN JUAN, P.R.

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

ROSA E. LESPIER SANTIAGO

Participant Name

Contact Person (if Participant is not an individual)

Email Address

EXT. ALHAMBRA/1703 CALLE JEREZ

Address line 1

Address line 2

PONCE, PUERTO RICO 00716

City, State Zip Code

PONCE

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

norbertocolonalvarado@yahoo.com

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

☐ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

☒ intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

ROSA E LESPIER SAI
EXT LA ALHAMBRA
1703 CALLE JEREZ
PONCE PR 00716



7018 0040 0000 3771 6123



1000



00918

U.S. POSTAGE PAID
FCM LETTER
PONCE, PR
00717
NOV 05, 19
AMOUNT

\$7.15

R2304M113036-07

RETURN RECEIPT
REQUESTED

THE CLERK OF THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO
ROOM 150 FEDERAL BUILDING
150 CARLOS CHARDON AVENUE
SAN JUAN PR 00918-1767

RECEIVED & FILED
NOV 14 2019
CLERK'S OFFICE
DISTRICT COURT
SAN JUAN, PR

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

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OF OBJECTIONS TO ERS BOND CLAIMS**

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Participant Name and Contact Information

ROSA E. LESPIER SANTIAGO

Participant Name

Contact Person (if Participant is not an individual)

Email Address

EXT. ALHAMBRA/1703 CALLE JEREZ

Address line 1

Address line 2

PONCE, PUERTO RICO 00716

City, State Zip Code

PONCE

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

norbertocolonalvarado@yahoo.com

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

☐ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

☒ intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

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3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MBN

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By:

Rosa E. Lespier Santiago
Signature

ROSA E. LESPIER SANTIAGO

Print Name

Title (if Participant is not an Individual)

11/02/2019

Date

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ROSA E LESPIER SA
EXT ALHAMBRA
1703 CALLE JEREZ
PONCE PR 00716



7018 0040 0000 3771 6130



1000



00918

U.S. POSTAGE PAID
FCM LETTER
PONCE, PR
00717
NOV 05, 19
AMOUNT

\$7.15

R2304M113036-07

RETURN RECEIPT
REQUESTED

THE CLERK OF THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO
ROOM 150 FEDERAL BUILDING
150 CARLOS CHARDON AVENUE
SAN JUAN PR 00918-1767

U.S. DISTRICT COURT
SAN JUAN, P.R.

NOV 07

PM

9-40

RECEIVED & FILED

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
:
In re: :
:
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3283 (LTS)
:
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
:
Debtors.¹ :
----- X

----- X
:
In re: :
:
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3566 (LTS)
:
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
:
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

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1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

Federico Torres Suarez

Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

Email Address

HC-1 Box 5000

Email Address

Address line 1

Address line 1

Address line 2

Onorio, P.R. 00720

Address line 2

City, State Zip Code

City, State Zip Code

Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

 intends to **support** the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are **invalid**); or

X intends to **oppose** the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are **valid**)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MBN9

29216MBL3

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: Federico Torres Suarez
Signature

Federico Torres Suarez
Print Name

Title (if Participant is not an Individual)

11/4/2019
Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**



The Clerk of the United States District
Court for the District of Puerto Rico,
Room 150, Federal Building, 150 Carlos Chard
Avenue, San Juan, P.R. 00918-1767

RECEIVED & FILED
2019 NOV - 6 PM 4: 06
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

Federico Torres Suarez
HC-1 Box 5000
Orocovis, PR 000720

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

Maria N. Ginesio Bonilla
Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

Email Address

Email Address

PO Box 1282
Address line 1

Address line 1

Address line 2

Address line 2

Aibonito 00705
City, State Zip Code

City, State Zip Code

Puerto Rico
Country

Country

2. Participant advises that it (choose **one** of the following by marking "X" in the appropriate space):

intends to **support** the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are **invalid**); or

X intends to **oppose** the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are **valid**)

Maria N. Aguirre
PO Box 1282
Aibonito PR 00905

NOV 7 2019 PM 3:1



The Clerk of the United States District
Court For District of P.R.
Room 150 Federal Building
150 Carlos Chardon Avenue
San Juan PR 00910-1706

RECEIVED & FILED

2019 NOV -6 PM 4:06

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, P.R.

00910-170699



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019
SRF 36513

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

¹ The Debtors in these Title III cases, along with each Debtor's respective Title III case number and the last four (4) digits of each Debtor's federal tax identification number, as applicable, are the (i) Commonwealth of Puerto Rico (the "Commonwealth") (Bankruptcy Case No. 17-BK-3283 (LTS)) (Last Four Digits of Federal Tax ID: 3481); (ii) Puerto Rico Sales Tax Financing Corporation ("COFINA") (Bankruptcy Case No. 17-BK-3284 (LTS)) (Last Four Digits of Federal Tax ID: 8474); (iii) Puerto Rico Highways and Transportation Authority ("HTA") (Bankruptcy Case No. 17-BK-3567 (LTS)) (Last Four Digits of Federal Tax ID: 3808); (iv) Employees Retirement System of the Government of the Commonwealth of Puerto Rico ("ERS") (Bankruptcy Case No. 17-BK-3566 (LTS)) (Last Four Digits of Federal Tax ID: 9686); and (v) Puerto Rico Electric Power Authority ("PREPA") (Bankruptcy Case No. 17-BK-4780 (LTS)) (Last Four Digits of Federal Tax ID: 3747) (Title III case numbers are listed as Bankruptcy Case numbers due to software limitations).

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To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

GABRIEL MIRANDA Target Retirement
Participant Name PLAN

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

GSMIRANDAR@GMAIL.COM
Email Address

Email Address

18 Calle Gusmano Noble
Address line 1

Address line 1

SAN JUAN PR 00913-4501
Address line 2

Address line 2

City, State Zip Code

City, State Zip Code

U.S.A
Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

 intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216 MBL 3

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: _____

Signature

Print Name

Title (if Participant is not an Individual)

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

W
Gabriel Miranda
18 Calle Guerrero Noble
San Juan, PR 00913-4501

RECEIVED & FILED

2019 NOV -6 PM 4: 06

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, PR

The Clerk of the US District Court
Room 150 Federal Building
150 Carlos Chardón Avenue
San Juan PR 00918-1767

00918-241250



00918-241250



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019
SRF 36513

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
:
In re: :
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3283 (LTS)
:
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
:
Debtors.¹ :
----- X

----- X
:
In re: :
:
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
:
as representative of : Case No. 17-BK-3566 (LTS)
:
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
:
Debtor. :
----- X

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

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The party identified below ("Participant") hereby advises the Official Committee of Unsecured Creditors, the Official Committee of Retired Employees of the Commonwealth of Puerto Rico, the Financial Oversight and Management Board for Puerto Rico, the Special Claims Committee of the Financial Oversight and Management Board for Puerto Rico, and the Puerto Rico Fiscal Agency and Financial Advisory Authority that it intends to participate in the litigation of the Claim Objections with respect to bonds issued by the Employees Retirement System of the Government of the Commonwealth of Puerto Rico in 2008 (the "ERS Bonds").

To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

GABRIEL MIRANDA

Participant Name

Contact Person (if Participant is not an individual)

GJMIRANDAR@GMAIL.COM

Email Address

18 Calle GUERRERO Noble

Address line 1

Address line 2

San Juan PR. 00913-4501

City, State Zip Code

USA

Country

Counsel Contact Information (if any)

Firm Name (if applicable)

Contact Person

Email Address

Address line 1

Address line 2

City, State Zip Code

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

 intends to **support** the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are **invalid**); or

X intends to **oppose** the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are **valid**)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

3. If Participant is not a holder of an ERS Bond, it can skip to the end of this Notice and sign. If Participant is a holder of one or more ERS Bonds, Participant must respond to the following paragraphs (a) and (b) to the best of Participant's knowledge.

- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216 MBL3

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: _____

Signature

GABRIEL MIRANDA

Print Name

Title (if Participant is not an Individual)

Date

10/22/2019

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

M
Gabriel Miranda
18 Calle Guerrero Noble
San Juan, PR 00913-4501

RECEIVED & FILED

2019 NOV -6 PM 4: 06

CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, PR

The Clerk of the US District Court
Room 150 Federal Building
150 Carlos Chardón Avenue
San Juan PR 00918-1767

OFFICE OF THE CLERK

SAN JUAN, PR 00918



00918-241250



THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF PUERTO RICO**

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3283 (LTS)
THE COMMONWEALTH OF PUERTO RICO *et al.*, : (Jointly Administered)
Debtors.¹ :
----- X

----- X
In re: :
THE FINANCIAL OVERSIGHT AND : PROMESA
MANAGEMENT BOARD FOR PUERTO RICO, : Title III
as representative of : Case No. 17-BK-3566 (LTS)
THE EMPLOYEES RETIREMENT SYSTEM OF THE :
GOVERNMENT OF THE COMMONWEALTH OF :
PUERTO RICO, :
Debtor. :
----- X

RECEIVED & FILED
2019 NOV - 6 PM 3:46
U.S. DISTRICT COURT
SAN JUAN, PUERTO RICO

**NOTICE OF PARTICIPATION IN LITIGATION
OF OBJECTIONS TO ERS BOND CLAIMS**

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To ensure full participation rights in the litigation of the Claim Objections, Participant provides all of the information requested in items 1 through 3 below:

1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

JOSE H. CANDELARIO

Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

CANDELARIOJOSEH@GMAIL.COM

Email Address

Email Address

CAMPO PRIMAVERA

Address line 1

Address line 1

#1903

Address line 2

Address line 2

CIDRA, P.R. 00739

City, State Zip Code

City, State Zip Code

Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

_____ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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- (a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MAC4

- (b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By: 

Signature

JOSE H. CANDECARIO

Print Name

Title (if Participant is not an Individual)

01-NOVEMBER-2019

Date

Instructions for Serving and Filing Notice of Participation: This Notice of Participation must be (i) served by email on the Notice Parties set forth in paragraph 8 of the Objection Procedures and (ii) filed electronically with the District Court pursuant to its Electronic Case Filing procedures. **If the Participant is not represented by counsel, the Participant may file a paper copy of this Notice of Participation with the District Court by delivering such Notice of Participation by mail or by hand addressed to: The Clerk of the United States District Court for the District of Puerto Rico, Room 150 Federal Building, 150 Carlos Chardon Avenue, San Juan, PR 00918-1767.**

FROM:

José H. Candelario Cruz

Urb. Campo Primavera #1903

Cidra, PR 00739



1000



00918

U.S. POSTAGE PAID
FCM LG ENV
CAGUAS, PR
00725
NOV 05, 19
AMOUNT

\$1.30

R2305H129471-21

TO:

The Clerk of the United States District Court

for the District of Puerto Rico

Room 150 Federal Building

150 Carlos Chardon Avenue

San Juan, PR 00918-1767

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1. Participant's contact information, including email address, and that of its counsel, if any:

Participant Name and Contact Information

Counsel Contact Information (if any)

CARLOS A. PONCE DE LEÓN

Participant Name

Firm Name (if applicable)

Contact Person (if Participant is not an individual)

Contact Person

cponcedeleon@leg-pr.com

Email Address

Email Address

267 SAN JORGE - APT. 10C

Address line 1

Address line 1

Address line 2

Address line 2

SAN JUAN, PR 00912-3351

City, State Zip Code

City, State Zip Code

USA

Country

Country

2. Participant advises that it (choose one of the following by marking "X" in the appropriate space):

_____ intends to support the relief requested in the Claim Objections (i.e., Participant believes the District Court should find that the ERS Bonds are invalid); or

X intends to oppose the relief requested in the Claim Objections (i.e., Participant believes that the District Court should find that the ERS Bonds are valid)

INTAKE DROP BOX
RECEIVED & FILED
2019 NOV -6 PM 2:23
CLERK'S OFFICE
U.S. DISTRICT COURT
SAN JUAN, PR

THIS NOTICE REQUIRES ACTION ON OR BEFORE NOVEMBER 18, 2019

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(a) Provide the CUSIP Numbers of all ERS Bonds held by Participant:

29216MBL3

(b) Did Participant purchase any of its ERS Bonds in whole or in part on the secondary market? YES or NO (please circle one).

By:



Signature

CARLOS A. PONCE DE LEÓN

Print Name

Title (if Participant is not an Individual)

NOVEMBER, 2019

Date

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UBS Financial Services
Incorporated of Puerto Rico
250 Munoz Rivera Avenue, Ph FL
San Juan PR 00918-9998

Summary of your UBS Portfolio

September 2019

APZ6000044023 0919 X14 1G 0

0000342 03 AB 0.409 03 TR 00003 B601A011 100100 edg
CARLOS A PONCE DE LEON
267 SAN JORGE, APT 10C
SAN JUAN PR 00912-3351







UBS Financial Services
Incorporated of Puerto Rico
250 Munoz Rivera Avenue, Ph FL
San Juan PR 00918-9998

Summary of your UBS Portfolio

September 2019

APZ6000044025 0919 X14 1G 0

CARLOS A PONCE DE LEON
267 SAN JORGE, APT 10C
SAN JUAN PR 00912-3351

Your Financial Advisor:
PR INVESTMENT CENTER
Phone: 787-250-3600/800-221-9825

Visit our website:
www.ubs.com/financialservices

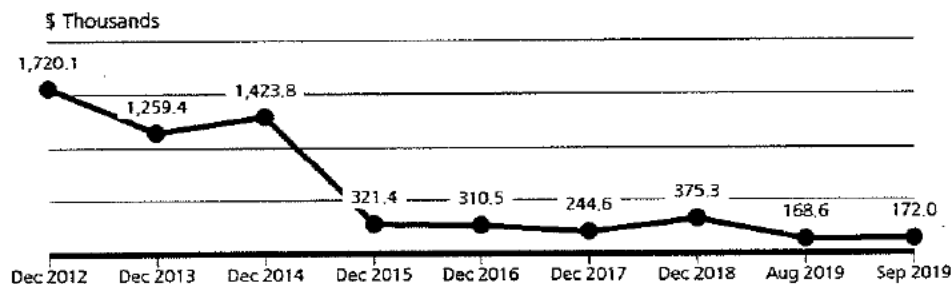
Items for your attention

► Help protect yourself from fraud and review bank, credit card, and brokerage statements regularly. Also, get your free credit report annually from www.annualcreditreport.com.

Value of your portfolio

	on August 30 (\$)	on September 30 (\$)
Your assets	168,738.33	172,112.83
Your liabilities	-150.00	-150.00
Value of your portfolio	\$168,588.33	\$171,962.83

Tracking the value of your portfolio



Sources of your portfolio growth during 2019

Value of your portfolio at year end 2018	\$375,255.14
Net deposits and withdrawals	-\$255,466.01
Your investment return:	
Dividend and interest income	\$3,730.72
Change in market value	\$48,442.98
Value of your portfolio on Sep 30, 2019	\$171,962.83



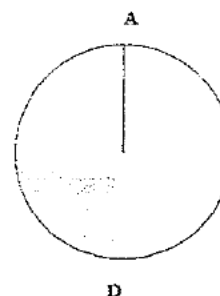


Your portfolio balance sheet

Summary of your assets

	Value on September 30 (\$)	Percentage of your portfolio
A Cash and money balances	0.83	0.00%
B Cash alternatives	0.00	0.00%
C Equities	0.00	0.00%
D Fixed income	172,112.00	100.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$172,112.83	100.00%

Your current asset allocation



Summary of your liabilities

	Amount on September 30 (\$)
Debit balance	-150.00
Total liabilities	-\$150.00
Value of your portfolio	\$171,962.83

Eye on the markets

Index	Percentage change	
	September 2019	Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

Interest rates on September 30, 2019

3-month Treasury bills: 1.84%

One-month LIBOR: 2.02%



Summary of your UBS portfolio
September 2019

Your Financial Advisor:
PR INVESTMENT CENTER
Telephone 787-250-3500/800-221-9825

Accounts in your portfolio

Details on page	Account number	Account name and type	Value on August 30 (\$)	Value on September 30 (\$)	Percentage of portfolio
7	REDACTED	CARLOS A PONCE DE LEON - RMA	168,738.33	172,112.83	100.09%
13		CARLOS A PONCE DE LEON - IRA Rollover	-150.00	-150.00	-0.09%
*		CARLOS A PONCE DE LEON - Basic	0.00	0.00	0.00%
*		CARLOS A PONCE DE LEON - Basic	0.00	0.00	0.00%
Total			\$168,588.33	\$171,962.83	100 %

* indicates the accounts' prior period value is included in the Tracking the value of your portfolio on the first page.

Change in the value of your accounts

Account	Opening value on September 1 (\$)	Deposits, including securities transferred in (\$)	Withdrawals and fees, including securities transferred out (\$)	Dividend and interest income (\$)	Change in value of outside assets and accruals (\$)	Change in market value (\$)	Closing value on September 30 (\$)
REDACTED CARLOS A PONCE DE LEON - RMA	168,738.33	0.00	0.00	0.00	0.00	3,374.50	172,112.83
REDACTED CARLOS A PONCE DE LEON - IRA Rollover	-150.00	0.00	0.00	0.00	0.00	0.00	-150.00
Total	\$168,588.33	\$0.00	\$0.00	\$0.00	\$0.00	\$3,374.50	\$171,962.83



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Dividend and interest income earned by account

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such

as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

Taxable accounts REDACTED	Year to date				Estimated Annual Income(\$)
	Taxable dividends/ Capital gains (\$)	Tax-exempt dividends (\$)	Taxable interest (\$)	Tax-exempt interest (\$)	
CARLOS A PONCE DE LEON - RMA	0.00	719.47	0.00	2,995.42	3,714.89

Summary of gains and losses by account

Values reported below exclude products for which gains and losses are not classified and products with a trade date of the prior year.

Realized gains and losses

Taxable accounts REDACTED	September 2019		Year to date	
	Short term (\$)	Long term (\$)	Short term (\$)	Long term (\$)
CARLOS A PONCE DE LEON - RMA	0.00	0.00	-35,976.59	4,990.83

Unrealized gains and losses

	Short term (\$)		Long term (\$)	
	0.00		-56,588.32	



UBS Financial Services
Incorporated of Puerto Rico
250 Munoz Rivera Avenue, Ph FL
San Juan PR 00918-9998

Resource Management Account

September 2019

APZ6000044029 0919 X14 1G 0

Your Financial Advisor:

PR INVESTMENT CENTER

Phone: 787-250-3600/800-221-9825

Questions about your statement?

Call your Financial Advisor or the

RMA Resource line at 800-RMA-1000,
account **REDACTED**

Visit our website:

www.ubs.com/financialservices

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Account name: CARLOS A PONCE DE LEON

Account number: **REDACTED**

Value of your account

	on August 30 (\$)	on September 30 (\$)
Your assets	168,738.33	172,112.83
Your liabilities	0.00	0.00
Value of your account	\$168,738.33	\$172,112.83

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

Change in the value of your account

	September 2019 (\$)	Year to date (\$)
Opening account value	\$168,738.33	\$375,405.14
Deposits, including investments transferred in	0.00	10.61
Withdrawals and fees, including investments transferred out	0.00	-255,476.62
Dividend and interest income	0.00	3,730.72
Change in market value	3,374.50	48,442.98
Closing account value	\$172,112.83	\$172,112.83





Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2019 (\$)	Year to date (\$)
Opening balances	\$0.83	\$176,085.64
<i>Additions</i>		
Deposits and other funds credited	0.00	10.61
Dividend and interest income	0.00	3,730.72
Proceeds from investment transactions	0.00	75,650.48
Total additions	\$0.00	\$79,391.81
<i>Subtractions</i>		
Other funds debited	0.00	-255,476.62
Total subtractions	\$0.00	-\$255,476.62
Net cash flow	\$0.00	-\$176,084.81
Closing balances	\$0.83	\$0.83

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	September 2019 (\$)	Year to date (\$)
Tax-exempt dividends	0.00	719.47
Tax-exempt interest	0.00	1,810.52
Tax-exempt accrued interest received	0.00	1,184.90
Total current year	\$0.00	\$3,714.89
Prior year adjustment	0.00	15.83
Total dividend & interest	\$0.00	\$3,730.72

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized
	September 2019 (\$)	Year to date (\$)	gains and losses (\$)
Short term	0.00	-35,976.59	0.00
Long term	0.00	4,990.83	-56,588.32
Total	\$0.00	-\$30,985.76	-\$56,588.32



Resource Management Account
September 2019

Case:17-03283-LTS Doc#:9122-1 Filed:11/06/19
Pro Se Notices of Participation

Account name:
Account number:

Entered:11/07/19 11:17:26 Desc:
Page 81 of 90

CARLOS A PONCE DE LEON
REDACTED

Your Financial Advisor:
PR INVESTMENT CENTER
787-250-3600/800-221-9825

My Choice Rewards Points from UBS

Rewards points are reflected as of the 26th of the month or the prior business day if the 26th falls on a weekend/holiday. Rewards point activity details can be found on www.ubs.com/onlineservices

	September 2019	Year to date
Opening balance	0	0
Closing balance	0	0





Your notes



Resource Management Account
September 2019

Account name:
Account number:

CARLOS A PONCE DE LEON
REDACTED

Your Financial Advisor:
PR INVESTMENT CENTER
787-250-3600/800-221-9825

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Holding	Opening balance on Sep 1 (\$)	Closing balance on Sep 30 (\$)	Price per share on Sep 30 (\$)	Average rate	Dividend/Interest period	Days in period
PR SHORT TERM INV FUND	0.83	0.83	1.00	1.19%	Aug 26 to Sep 23	29

Fixed income

Municipal securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been automatically adjusted for mandatory amortization of bond premium on coupon tax-exempt municipal securities using the constant yield method and for accreted original issue

discount for securities issued at a discount. When original cost basis is displayed, amortization has been done using the constant yield method, otherwise amortization has been done using the straight line method.

Holding	Trade date	Total face value at maturity (\$)	Purchase price(\$)	Adjusted cost basis (\$)	Price on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
PUERTO RICO COMWLTH TAX SR B BE/R/ DEFAULTED RATE 04.400% MATURES 07/01/20 CALLABLE 10/30/19 @ 100.00 CUSIP 74514LZZ3 Moody: Ca S&P: Not rated								
	Mar 08, 12	5,000.000	100.000	5,000.00	62.000	3,100.00	-1,900.00	LT
PUERTO RICO COMWLTH INDL RV BE/R/ DEFAULTED RATE 05.200% MATURES 07/01/23 CALLABLE 10/01/19 @ 100.00 CUSIP 745211LH3 Moody: C S&P: Not rated								
Original cost basis: \$50,005.08	Jul 25, 03	50,000.000	100.004	50,002.07	93.000	46,500.00	-3,502.07	LT
	Jul 29, 04	35,000.000	96.267	33,693.47	93.000	32,550.00	-1,143.47	LT
Security total		85,000.000		83,695.54		79,050.00	-4,645.54	

continued next page





Your assets • **Fixed income** • **Municipal securities** (continued)

Holding	Trade date	Total face value at maturity (\$)	Purchase price (\$)	Adjusted cost basis (\$)	Price on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
PUERTO RICO COMWLTH PUB 2008C BE/R/ DEFAULTED RATE 05.700% MATURES 07/01/23 CALLABLE 10/01/19 @ 100.00 CUSIP 74514LST5 Moody: Ca S&P: Not rated Original cost basis: \$100,003.88								
	Apr 28, 08	100,000.000	100.001	100,001.75	72.750	72,750.00	-27,251.75	LT
EMPLOYEES RETIREMENT SYS SR C RV BE/R/ DEFAULTED RATE 06.150% MATURES 07/01/28 CALLABLE 10/30/19 @ 100.00 CUSIP 29216MBL3 Moody: C S&P: Not rated Original cost basis: \$40,004.34								
	Jun 27, 08	40,000.000	100.007	40,003.03	43.030	17,212.00	-22,791.03	LT
Total		\$230,000.000		\$228,700.32		\$172,112.00	-\$56,588.32	

Your total assets

		Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	0.83		0.83		
Fixed income	Municipal securities	172,112.00	100.00%	228,700.32		-56,588.32
Total		\$172,112.83	100.00%	\$228,701.15		-\$56,588.32



UBS Financial Services
Incorporated of Puerto Rico
250 Munoz Rivera Avenue, Ph FL
San Juan PR 00918-9998

Retirement Account

September 2019

APZ6000044035 0919 X14 1G 0

Your Financial Advisor:

EDGARDO FERRER

Phone: 787-250-3600/800-221-9825

Visit our website:

www.ubs.com/financialservices

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Account name: CARLOS A PONCE DE LEON

ROLLOVER IRA

Account type: IRA Rollover

Account number: REDACTED

Value of your account

	on August 30 (\$)	on September 30 (\$)
Your assets	0.00	0.00
Your liabilities	-150.00	-150.00
Value of your account	-\$150.00	-\$150.00

Your account instructions

- All tax reporting provided by the issuer of your annuity.
- Your account cost basis default closing method is FIFO, First In, First Out.

Change in the value of your account

	September 2019 (\$)	Year to date (\$)
Opening account value	-\$150.00	-\$150.00
Closing account value	-\$150.00	-\$150.00





Your notes



Retirement Account
September 2019

Account name: CARLOS A PONCE DE LEON
Account type: IRA Rollover
Account number: REDACTED

Your Financial Advisor:
EDGARDO FERRER
787-250-3600/800-221-9825

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Holding	Opening balance on Sep 1 (\$)	Closing balance on Sep 30 (\$)	Price per share on Sep 30 (\$)	Average rate	Dividend/Interest period	Days in period
Cash	-150.00	-150.00				

Your total assets

	Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	¹ Cash and money balances				

Total

¹ Values in Cash and money balances exclude any outstanding margin loan or unsecured debit balance. These balances are reflected as liabilities in the balance sheet section of the statement.





Your notes



Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

UBS Financial Services Inc.
1200 Harbor Boulevard
Weehawken, NJ 07086

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to both firms.
- As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- For TTY services: Call 844-612-0986 or from outside the U.S.: Call 201-352-1495
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1200 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must

hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit www.fdic.gov. Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the bank deposits may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at www.sipc.org. The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular

capacity. A full copy of the policy wording is available upon request.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
- Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
- Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between your accounts. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant

income or returns and may not keep pace with inflation.

- **Moderate:** Willing to accept some risk to principal, tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal, high volatility to seek high returns over time.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. If you prefer to receive individual statements mailed in separate envelopes, you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. You can change your Friendly account names through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your account/portfolio.** Net of assets and liabilities.
- **Assets.** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities.** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances.** Total of uninvested available cash balances, plus deposit balances at affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in [Agreements and Disclosures](http://www.ubs.com/accountdisclosures) at www.ubs.com/accountdisclosures.





Important information about your statement (continued)

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services. In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

– We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.

– Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.

– Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.

– Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.

– For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.**

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

– These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.

– Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.

– Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.

– You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

– Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.

– When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

– "Distributions to date" may include return of capital, income or both.

– "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

– DPP and unlisted RET securities are not listed on a national securities exchange, and are generally illiquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock *for purposes of this statement only*. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.**

An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

– Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.

– Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.

– An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities/deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

– In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.

– We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

– In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.

– In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.

– Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

– UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

– Investment, insurance, and annuity products:

– Not FDIC insured • No bank guarantee • May lose value

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